

THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Stephen Randall Holmes-Farley, Pradeep K. Dhal and John S. Petersen
Application No.: 10/647,665 Group Art Unit: 1615
Filed: August 25, 2003 Examiner: Not Assigned
Confirmation No.: 2141
Title: POLY (DIALLYLAMINE)-BASED BILE ACID SEQUESTRANTS

| CERTIFICATE OF MAILING OR TRANSMISSION | |
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| Typed or printed name of person signing certificate | |

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

This Information Disclosure Statement is submitted:

- ☐ under 37 CFR 1.129(a), or
(First/Second submission after Final Rejection)
- ☒ under 37 CFR 1.97(b), or
(Within any one of the following time periods: three months of filing national application (other than a CPA) or date of entry of the national stage in an international application; or before the mailing date of a first office action on the merits in a non-provisional application, including a CPA, or a Request for Continued Examination).
- ☐ under 37 CFR 1.97(c) together with either:
- ☐ a Statement under 37 CFR 1.97(e), as checked below, or
- ☐ a \$180.00 fee under 37 CFR 1.17(p), or
(After the 37 CFR 1.97(b) time period, but before final action or notice of allowance, whichever occurs first)
- ☐ under 37 CFR 1.97(d) together with:
- ☐ a Statement under 37 CFR 1.97(e), as checked below, and
- ☐ a \$180.00 fee under 37 CFR 1.17(p), or
(Filed after final action or notice of allowance, whichever occurs first, but on or before payment of the issue fee)
- ☐ under 37 CFR 1.97(i):
Applicant requests that the IDS and cited reference(s) be placed in the application filewrapper.
(Filed after payment of issue fee)

Statement Under 37 CFR 1.97(e)

- ☐ Each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement; or
- ☐ No item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned, after making reasonable inquiry, no item of information contained in the information disclosure statement was known to any individual designated in 37 CFR 1.56(c) more than three months prior to the filing of this Information Disclosure Statement.

Statement Under 37 CFR 1.704(d) (Patent Term Adjustment)

Applies to original applications (other than design) filed on or after May 29, 2000

- ☐ Each item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application and this communication was not received by any individual designated in § 1.56(c) more than thirty days prior to the filing of the Information Disclosure Statement.
- ☒ Enclosed herewith is form PTO-1449:
 - ☐ Copies of the cited references are enclosed.
 - ☐ Since this application was filed after June 30, 2003, copies of issued U.S. patents and published U.S. applications are not required and are not being provided.
 - ☒ Copies of the cited references are enclosed except those entered in prior applications, U.S. Application No. 08/777,408, to which priority under 35 U.S.C. 120 is claimed. The earlier applications contains copies of the cited references.
 - ☐ The listed references were cited in the enclosed International Search Report in a counterpart foreign application.
 - ☐ The "concise explanation" requirement (non-English references) for reference(s) [] under 37 CFR 1.98(a)(3) is satisfied by:
 - ☐ the explanation provided on the attached sheet.
 - ☐ the explanation provided in the Specification.
 - ☐ submission of the enclosed International Search Report.
 - ☐ submission of the enclosed English-language version of a foreign Search Report and/or foreign Office Action.
 - ☐ the enclosed English language abstract.

☐ Applicant requests that the following non-published pending applications be considered:

Examiner's
Initials

_____ U.S. Patent Application No. [], by [inventor(s)], filed [], Docket No.: []

_____ U.S. Patent Application No. [], by [inventor(s)], filed [], Docket No.: []

_____ U.S. Patent Application No. [], by [inventor(s)], filed [], Docket No.: []

Examiner

Date

- ☐ A copy of each above-cited application, including the current claims, is enclosed.
- ☐ A copy of each above-cited application, including the current claims, is enclosed, except those entered in prior application, U.S. Application No. [], to which priority under 35 U.S.C. 120 is claimed.

The Examiner is requested to return a copy of the above list of pending applications indicating which references were considered with the next office communication.

It is requested that the information disclosed herein be made of record in this application.

Method of payment:

- ☐ A check for the fee noted above is enclosed, or the fee has been included in the check with the accompanying Reply. A copy of this Statement is enclosed.
- ☐ Please charge Deposit Account 08-0380 in the amount of \$[]. A copy of this Statement is enclosed.
- ☒ Please charge any deficiency in fees and credit any overpayment to Deposit Account 08-0380.

Respectfully submitted,

HAMILTON, BROOK, SMITH & REYNOLDS, P.C.

By Susan M. Abelleira

Susan M. Abelleira

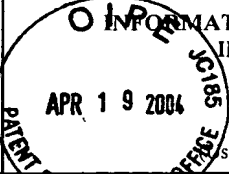
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Dated: April 15, 2004

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| PTO-1449 REPRODUCED | | ATTORNEY DOCKET NO. 1932.1041-020 | | APPLICATION NO. 10/647,665 | |
|  <p>April 15, 2004</p> <p>(use several sheets if necessary)</p> | | FIRST NAMED INVENTOR Stephen Randall Holmes-Farley | | FILING DATE August 25, 2003 | |
| | | EXAMINER Not Assigned | | CONFIRMATION NO. 2141 | |

U.S. PATENT DOCUMENTS

| EXAM- INER INI- TIAL | REF. NO. | DOCUMENT NUMBER Number-Kind Code (if known) | ISSUE DATE / PUBLICATION DATE MM-DD-YYYY | NAME OF PATENTEE OR APPLICANT OF CITED DOCUMENT |
|-------------------------------|-------------|--|--|--|
| | AA | 4,340,585 | 07/20/82 | Borzatta <i>et al.</i> |
| | AB | 4,557,930 | 12/10/85 | Kihara <i>et al.</i> |
| | AC | 3,308,020 | 03/07/76 | Wolf <i>et al.</i> |
| | AD | 3,383,281 | 05/14/68 | Wolf <i>et al.</i> |
| | AE | 5,055,197 | 10/08/91 | Albright <i>et al.</i> |
| | AF | 4,217,429 | 08/12/80 | Wagner <i>et al.</i> |
| | AG | 4,205,064 | 05/27/80 | Wagner <i>et al.</i> |
| | AH | 4,098,726 | 07/04/78 | Wagner <i>et al.</i> |
| | AI | 5,236,701 | 08/17/93 | St. Pierre <i>et al.</i> |
| | AJ | 3,803,237 | 04/09/74 | Lednicer <i>et al.</i> |
| | AK | 4,759,923 | 07/26/88 | Buntin <i>et al.</i> |
| | AA2 | 4,605,701 | 08/12/86 | Harada <i>et al.</i> |
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| | AC2 | 4,111,859 | 09/05/78 | Strop <i>et al.</i> |
| | AD2 | 4,101,461 | 07/18/78 | Strop <i>et al.</i> |
| | AE2 | 4,071,478 | 01/31/78 | Shen <i>et al.</i> |
| | AF2 | 3,980,770 | 09/14/76 | Ingelman <i>et al.</i> |
| | AG2 | 3,787,474 | 01/22/74 | Daniels <i>et al.</i> |
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| | AB3 | 4,559,391 | 12/17/85 | Ueda <i>et al.</i> |
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| EXAMINER | DATE CONSIDERED |
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| PTO-1449 REPRODUCED INFORMATION DISCLOSURE CITATION IN AN APPLICATION April 15, 2004 (Use several sheets if necessary) | ATTORNEY DOCKET NO. 1932.1041-020 | | APPLICATION NO. 10/647,665 | |
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| | AE3 | 5,430,110 | 07/04/95 | Ahlers <i>et al.</i> |
| | AF3 | 3,562,266 | 02/09/71 | Minisci <i>et al.</i> |
| | AG3 | 5,462,730 | 10/31/95 | McTaggart <i>et al.</i> |
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| | AI3 | 3,801,641 | 04/02/74 | Payot <i>et al.</i> |
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| | AK3 | 2,874,132 | 02/17/59 | Riener |
| | AA4 | 5,428,112 | 06/27/95 | Ahlers <i>et al.</i> |
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| | AH4 | 4,287,172 | 09/01/81 | Jacquet <i>et al.</i> |
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| | AJ4 | 4,027,009 | 05/31/77 | Grier <i>et al.</i> |

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| | | DOCUMENT NUMBER Country Code-Number-Kind Code (if known) | DATE MM-DD-YYYY | NAME OF PATENTEE OR APPLICANT OF CITED DOCUMENT | TRANSLATION YES NO | |
|--|----|--|--------------------|--|-----------------------|--|
| | AL | WO92/10522 | 06/25/92 | WIPO | | |
| | AM | 0 459 632 A1 | 12/04/91 | EPO | | |
| | AN | 929,391 | 06/19/63 | United Kingdom | | |
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|--|-----|--|--------------------|--|-----------------------|----------|
| | AL2 | WO94/04596 | 03/03/94 | WIPO | | |
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| | AP4 | 2 227 663 | 08/08/90 | Great Britian | | |
| | AQ4 | 0 401 705 | 12/12/90 | EPO | | |
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| AR | Heming, A.E., <i>et al.</i> , "Considerations in the Selection of Cation Exchange Resins for Therapeutic Use," <i>Annals of the New York Academy of Sciences</i> , 57:239-251 (1954). |
| AS | McCarthy, Peter A., "New Approaches to Atherosclerosis: An Overview," <i>Medicinal Research Reviews</i> , 13(2):139-159 (1993). |

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| AT | Butler, G.B., <i>et al.</i> , "Comblike Cyclopolymers of Alkyldiallylamines and Alkyldiallylmethylammonium Chlorides," in <u>Water-Soluble Polymers</u> , eds. Shalaby, McCormick & Butler, Chapter 9, pp. 151-158 ACS Symposium Series 467 (1991). |
| AU | Dubin, P.L., <i>et al.</i> , "Quasi-Elastic Light Scattering of Polyelectrolyte-Micelle Complexes," <i>Macromolecules</i> 17:1294-1296 (1984). |
| AV | Wang, G.-J., <i>et al.</i> , "Fluorescence probing of the formation of hydrophobic microdomains by cross-linked poly (alkylmethyldiallyl-ammonium bromides) in aqueous solution," <i>Recl. Trav. Chim. Pays-Bas</i> 113:390-393 (1994). |
| AW | Kunitake, T., <i>et al.</i> , "Catalyses of Polymer Complexes. 4. Polysoap-Catalyzed Decarboxylation of 6-Nitrobenzisoazole-3-carboxylate Anion. Importance of the Hydrophobic Environment in Activation of the Anion," <i>J. Org. Chem</i> 42(2):306-312 (1977). |
| AX | Wang, G.-J., <i>et al.</i> , "Study of the Conformational State of Non-Cross-Linked and Cross-Linked Poly (alkylmethyldiallylammonium Chlorides) in Aqueous Solution by Fluorescence Probing," <i>Gazzetta Chimica Italiana</i> , 125:393-397 (1995). |
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| AZ | Harada, S., <i>et al.</i> , "The Cyclo-copolymerization of Diallyl Compounds and Sulfur Dioxide," <i>Die Makromolekulare Chemie</i> , 107:64-93 (1967). |
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| AS2 | Wang, G.-J., <i>et al.</i> , "Synthesis of Hydrophobically and Electrostatically Modified Polyacrylamides and Their Catalytic Effects on the Unimolecular Decarboxylation of 6-Nitrobenzisoazole-3-carboxylate Anion," <i>Langmuir</i> , 11(10):3856-3861 (1995). |
| AT2 | Wang, G.-J., <i>et al.</i> , "Synthesis and Catalytic Properties of Non-Cross-Linked and Cross-Linked Poly (alkylmethyldiallylammonium bromides) Having Decyl, Octyl, and Hexyl Side Chains," <i>J. Org. Chem</i> , 60:4030-4038 (1995). |
| AU2 | Kevelam, J., <i>et al.</i> , "Polymer-Surfactant Interactions Studied by Titration Microcalorimetry: Influence of Polymer Hydrophobicity, Electrostatic Forces, and Surfactant Aggregational State," <i>Langmuir</i> , 12(20):4709-4717 (1996). |

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| AV2 | Wang, G.-J., <i>et al.</i> , "Syntheseis and Catalytic Properties of Cross-Linked Hydrophobically Associating Poly (alkylmethyldiallyl-ammonium bromides)," <i>J. Org. Chem.</i> , 59(15):4076-4081 (1994.) | |
| AW2 | Yang, Y.J., <i>et al.</i> , "Synthesis and Catalytic Properties of Hydrophobically Modified Poly (alkylmethyldiallylammonium bromides)," <i>J. Org. Chem.</i> , 56:4300-4304 (1991). | |
| AX2 | Negi, Y., <i>et al.</i> , "Cyclopolymerization of Diallylamine Derivatives in Dimethyl Sulfoxid," <i>J. of Polymer Science: Part A-1</i> , 5:1951-1965 (1967). | |
| AY2 | Hodgkin, H., <i>et al.</i> , "Use of ¹³ C-NMR in the Study of Reactions on Crosslinked Resins," Published by John Wiley & Sons, <i>J. of Polymer Science: Polymer Chemistry Edition</i> , 19(5):1239-1249 (1981). | |
| AZ2 | Yeh, F., <i>et al.</i> , "Nanoscale Supramolecular Structures in the Gels of Poly (Diallyldimethylammonium Chloride) Interacting with Sodium Dodecyl Sulfate," <i>J. Am. Chem. Soc.</i> , 118(28):6615-6618 (1996). | |
| AR3 | Boothe, J.E., <i>et al.</i> , "Some Homo- and Copolymerization Studies of Dimethyldiallylammonium Chloride," <i>J. Macromol. Sci. -Chem.</i> , A4(6):1419-1430 (1970). | |
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| AT3 | Bolto, B.A., <i>et al.</i> , "Synthesis of Cross-Linked Polyallylamines which are Resistant to Sulfite Attack," <i>J. Macromol. Sci. Chem.</i> , A17(1):153-166 (1982). | |

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